State of Hawaii
Department of Human Services
Office of Youth Services

Request for Proposals

HMS 501-11-01
Intensive Monitoring Program

December 16, 2010

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, you may download the RFP Interest form, complete and e-mail or mail to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

December 16, 2010

REQUEST FOR PROPOSALS

TITLE OF RFP
RFP No. DHS 501-11-01

The Department of Human Services, Office of Youth Services is requesting proposals from qualified applicants to provide an Intensive Monitoring Program for probationary youth referred by the Family Courts of the First, Second and Third Circuits. Services may include, but are not limited to development of, in conjunction with the assigned probation officer, an implementation plan for each referred youth, intensive community supervision, and transportation of youth. The contract term will be from July 1, 2011 through June 30, 2013. Multiple contracts will be awarded under this request for proposals.

Proposals shall be mailed, postmarked by the United States Postal Service on or before February 25, 2011, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on February 25, 2011, at the drop-off sites designated on the Proposal Mail-in and Delivery Information Sheet. Deliveries by private mail services such as Federal Express (FedEX) and the United Postal Services (UPS) shall be considered hand deliveries. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Office of Youth Services will conduct an orientation on Wednesday, January 5, 2011 from 10:00 a.m. to 12:00 noon HST, at the following video conferencing locations:

Oahu	Keoni Ana Building 1177 Alakea Street Honolulu
Hawaii	Hilo State Office Building 75 Aupuni Street Hilo
Kauai	Lihue State Office Building 3060 Eiwa Street Lihue

Maui	Wailuku Judiciary Building 2145 Main Street Wailuku
Molokai	DOE Molokai Complex 65 Maka'ena Place, Room 102 Kaunakakai (next to the public library)

All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on January 10, 2011. All written questions will receive a written response from the State which will be posted as an addendum to the RFP on or about January 21, 2011.

Inquiries regarding this RFP should be directed to the RFP contact person, Martha Torney at 820 Mililani Street (Suite 817), Honolulu, Hawaii 96813, telephone: (808) 587-5700, fax: (808) 587-5734, e-mail: martha.t.torney@hawaii.gov.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED:
ONE (1) ORIGINAL AND TWO (2) COPIES OF THE PROPOSAL ARE REQUIRED

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN **February 25, 2011 and received by the state purchasing agency no later than 10 days from the submittal deadline**.

ALL MAIL-INS

State of Hawaii
Department of Human Services
Office of Youth Services
820 Mililani Street, Suite 817
Honolulu, Hawaii 96813

OYS RFP COORDINATOR

Martha Torney
For further information or inquiries:
Phone: (808) 587-2700
Fax: (808) 587-2734
E-Mail: martha.t.torney@hawaii.gov

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITE UNTIL **4:30 P.M., Hawaii Standard Time (HST), February 25, 2011.**

STATE OF HAWAII
DEPARTMENT OF HUMAN SERVICES
OFFICE OF YOUTH SERVICES
820 MILILANI STREET, SUITE 817
HONOLULU, HAWAII 96813

BE ADVISED:

Deliveries by private mail services such as FEDEX or UPS shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., February 25, 2011.

RFP Table of Contents

Section 1 Administrative Overview

Section 2 - Service Specifications

Section 3 - Proposal Application Instructions

Section 4 – Proposal Evaluation

Section 5 – Attachments

Section 1

Administrative Overview

Section 1
Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

I. Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.

Activity	Scheduled Date
Public notice announcing Request for Proposals (RFP)	12/16/2010
Distribution of RFP	12/16/2010
RFP orientation session	1/5/2010
Closing date for submission of written questions for written responses	1/10/2010
State purchasing agency's response to applicants' written questions	1/21/2010
Discussions with applicant prior to proposal submittal deadline (optional)	
Proposal submittal deadline	2/25/2011
Discussions with applicant after proposal submittal deadline (optional)	
Final revised proposals (optional)	
Proposal evaluation period	2/28-3/17/2011
Provider selection	3/23/2011
Notice of statement of findings and decision	3/28/2011
Contract start date	7/1/2011

II. Website Reference

The State Procurement Office (SPO) website is http://hawaii.gov/spo/

	For	Click
1	Procurement of Health and Human Services	"Health and Human Services, Chapter 103F, HRS…"
2	RFP website	"Health and Human Services, Ch. 103F…" and "The RFP Website" (located under Quicklinks)
3	Hawaii Administrative Rules (HAR) for Procurement of Health and Human Services	"Statutes and Rules" and "Procurement of Health and Human Services"
4	Forms	"Health and Human Services, Ch. 103F…" and "For Private Providers" and "Forms"
5	Cost Principles	"Health and Human Services, Ch. 103F…" and "For Private Providers" and "Cost Principles"
6	Standard Contract -General Conditions	"Health and Human Services, Ch. 103F…" "For Private Providers" and "Contract Template – General Conditions"
7	Protest Forms/Procedures	"Health and Human Services, Ch. 103F…" and "For Private Providers" and "Protests"

Non-SPO websites

(Please note: website addresses may change from time to time. If a link is not active, try the State of Hawaii website at http://hawaii.gov)

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	**http://hawaii.gov/tax/** click "Forms"
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	**http://capitol.hawaii.gov/** click "Bill Status and Documents" and "Browse the HRS Sections."
10	Department of Commerce and Consumer Affairs, Business Registration	**http://hawaii.gov/dcca** click "Business Registration"
11	Campaign Spending Commission	**http://hawaii.gov/campaign**

III. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS) Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview: Provides applicants with an overview of the procurement process.

Section 2, Service Specifications: Provides applicants with a general description of the tasks to be performed, delineates provider responsibilities, and defines deliverables (as applicable).

Section 3, Proposal Application Instructions: Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation: Describes how proposals will be evaluated by the state purchasing agency.

Section 5, Attachments: Provides applicants with information and forms necessary to complete the application.

V. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Department of Human Services
Office of Youth Services
820 Mililani Street, Suite 817
Honolulu, Hawaii 96813
Phone: (808) 587-5700
Fax: (808) 587-5734
E-Mail: martha.t.torney@hawaii.gov

VI. Orientation

An orientation for applicants in reference to the request for proposals will be held as follows:

Date: **Wednesday, Jan. 5, 2011** **Time:** **10:00 a.m. to Noon**
Locations: at the following video conferencing locations:

Oahu	Keoni Ana Building 1177 Alakea Street Honolulu
Hawaii	Hilo State Office Building 75 Aupuni Street Hilo

Kauai	Lihue State Office Building 3060 Eiwa Street Lihue
Maui	Wailuku Judiciary Building 2145 Main Street Wailuku
Molokai	DOE Molokai Complex 65 Maka'ena Place, Room 102 Kaunakakai (next to the public library)

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the paragraph VII. Submission of Questions.

VII. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. All written questions will receive a written response from the state purchasing agency.

Deadline for submission of written questions:

Date: January 10, 2011 **Time:** 4:30 p.m. HST

State agency responses to applicant written questions will be provided by:

Date: January 21, 2011

VIII. Submission of Proposals

A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in II. Website Reference. Refer to the Proposal Application Checklist for the location of program specific forms.

1. **Proposal Application Identification (Form SPO-H-200).** Provides applicant proposal identification.

2. **Proposal Application Checklist**. Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.

3. **Table of Contents**. A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.

4. **Proposal Application (Form SPO-H-200A)**. Applicant shall submit comprehensive narratives that address all of the proposal requirements contained in Section 3 of this RFP, including a cost proposal/budget if required.

B. **Program Specific Requirements**. Program specific requirements are included in Sections 2, Service Specifications and Section 3, Proposal Application Instructions, as applicable. If required, Federal and/or State certifications are listed on the Proposal Application Checklist located in Section 5.

C. **Multiple or Alternate Proposals**. Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

D. **Tax Clearance**. Pursuant to HRS Section 103-53, as a prerequisite to entering into contracts of $25,000 or more, providers shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate. Tax clearance applications may be obtained from the Department of Taxation.website. (Refer to this section's part II. Website Reference.)

E. **Wages and Labor Law Compliance**. If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with HRS Section 103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to HRS Section 103-55, at the Hawaii State Legislature website. (See part II, Website Reference.)

- **Compliance with all Applicable State Business and Employment Laws.** All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations unincorporated associations and foreign insurance companies be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See part II, Website Reference.)

F. **Hawaii Compliance Express (HCE).** Providers may register with HCE for online proof of DOTAX and IRS tax clearance Department of Labor and Industrial Relations (DLIR) labor law compliance, and DCCA good standing compliance. There is a nominal annual fee for the service. The "Certificate of Vendor Compliance" issued online through HCE provides the registered provider's current compliance status as of the issuance date, and is accepted for both contracting and final payment purposes. Refer to this section's part II. Website Reference for HCE's website address.

G. **Campaign Contributions by State and County Contractors.** Providers are hereby notified of the applicability of HRS Section 11-205.5, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, FAQs are available at the Campaign Spending Commission webpage. (See part II, Website Reference.)

H. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

Note that price is not considered confidential and will not be withheld.

I. **Confidentiality of Personal Information.** Act 10 relating to personal information was enacted in the 2008 special legislative session. As a result, the Attorney General's General Conditions of Form AG Form 103F, *Confidentiality of Personal Information,* has been amended to include Section 8 regarding protection of the use and disclosure of personal information administered by the agencies and given to third parties.

J. **Proposal Submittal**. All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:
- Postmarked after the designated date; or
- Postmarked by the designated date but not received within 10 days from the submittal deadline; or
- If hand delivered, received after the designated date and time.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks.

IX. Discussions with Applicants

A. **Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.

B. **After Proposal Submittal Deadline -** Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance HAR Section 3-143-403.

X. Opening of Proposals

Upon receipt of a proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

XI. Additional Materials and Documentation

Upon request from the state purchasing agency, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

XII. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XIII. Final Revised Proposals

If requested, final revised proposals shall be submitted in the manner, and by the date and time specified by the state purchasing agency. If a final revised proposal is not submitted, the previous submittal shall be construed as the applicant's best and final offer/proposal. *The applicant shall submit* ***only*** *the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XIV. Cancellation of Request for Proposal

The RFP may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XV. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a RFP, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with HAR Sections 3-142-202 and 3-142-203.

XVII. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons:

(1) Rejection for failure to cooperate or deal in good faith. (HAR Section 3-141-201)
(2) Rejection for inadequate accounting system. (HAR Section 3-141-202)
(3) Late proposals (HAR Section 3-143-603)
(4) Inadequate response to request for proposals (HAR Section 3-143-609)
(5) Proposal not responsive (HAR Section 3-143-610(a)(1))
(6) Applicant not responsible (HAR Section 3-143-610(a)(2))

XVIII. Notice of Award

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

XIX. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See paragraph II, Website Reference.) Only the following matters may be protested:

(1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;

(2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and

(3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

The Notice of Protest shall be postmarked by USPS or hand delivered to 1) the head of the state purchasing agency conducting the protested procurement and 2) the procurement officer who is conducting the procurement (as indicated below) within five working days of the postmark of the Notice of Findings and Decision sent to the protestor. Delivery services other than USPS shall be considered hand deliveries and considered submitted on the date of actual receipt by the state purchasing agency.

Head of State Purchasing Agency	**Procurement Officer**
Name: David Hipp	Name: Martha Torney
Title: Executive Director	Title: Program Development Officer
Mailing Address: 820 Mililani Street, Suite 817 Honolulu, Hawaii 96813	Mailing Address: 820 Mililani Street, Suite 817 Honolulu, Hawaii 96813
Business Address: Same	Business Address: Same

XX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to HRS Chapter 37, and subject to the availability of State and/or Federal funds.

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See paragraph II, Website Reference). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201, which is available on the SPO website (see paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

Section 2
Service Specifications

I. Introduction

Overview, purpose or need

Proposed Intensive Monitoring Program (IMP) is targeted for youth who have been adjudicated by the Family Court, and have been placed on probation. The goal is to provide intensive supervision for youth, hold them accountable for their behavior and assist youth to be in compliance with the terms and conditions of probation.

A. Planning activities conducted in preparation for this RFP

The Office of Youth Services conducted its Request for Information Process for Fiscal Biennium 2011-2013 through a public notice followed by a series of meetings held from March to April 2010. The public meetings were held in various communities in order to assess the particular needs and conditions in each respective geographic area. A total of 145 individuals from 75 organizations and 23 state and local public agencies participated in the meetings. In addition, written comments were received from individuals in Hawai`i (2), Maui (1), O`ahu (2), and statewide (1).

Information from this RFI is analyzed within the context of the Office of Youth Services Strategic Plan, 2008-2013. This plan emphasizes three areas: planning, policy and capacity building. The strategic goals for these areas are:

- ***Planning for the Continuum of Youth Services*** – strengthen and sustain the continuum of youth services in Hawai`i by providing effective coordination and support of community-based planning efforts.
- ***Advancing a Youth Policy Agenda*** – develop and advance a youth policy agenda that ensures a strong comprehensive system of support.
- ***Investing Funds & Technical Support In Youth Development*** – make strategic investments of funding and technical support in community-based efforts to strengthen and sustain the spectrum of youth services.

As a result of the RFI meetings, program need areas were identified, organized along the continuum of services categories of prevention, diversion, residential, and transition. Among those program need areas identified was the need for coordinated services to divert youth who have been arrested, detained and/or adjudicated from further penetration into the Juvenile Justice System.

B. Description of the goals of the service

To provide youth that are at high risk of violating the conditions of their probation with intensive monitoring services.

C. Description of the target population to be served

The target population is youth, 12 through 17, who have been arrested, detained and/or placed on probation by the Family Court of the First Circuit.

D. Geographic coverage of service

Islands of Oahu, Maui and Hawaii.

E. Probable funding amounts, source, and period of availability

1. **Funding Period:** July 1, 2011 to June 30, 2013

2. **Approximate Total Amount of General Funds:**
   Oahu $400,000 per year
   Maui $150,000 per year
   Hawaii $200,000 per year
   NOTE: Funds have not yet been appropriated for this service.

3. The OYS anticipates funds to be awarded for one 24-month period, subject to the availability of funds and quality of program services. There may be a possibility for the extension of the initial award period to up to two additional 12-month periods should funds become available. The award of a contract and any allowed renewal or extension thereof is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

4. There will be one award granted for each geographic location.

5. The OYS reserves the right to make modifications to the scope of services and in the funding amounts that it is unable to anticipate now. There may be modifications made to continue or to improve the services. Additionally, should funding be increased or decreased, the OYS reserves the right to add in additional funds or decrease funds at its discretion.

II. General Requirements

A. Specific qualifications or requirements, including but not limited to licensure or accreditation

The Contractor shall comply with the Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201, which can be found on the SPO website (see Section 5, POS Proposal Checklist, for the website address).

The general conditions that will be imposed contractually are on the SPO website. Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

The Contractor shall maintain insurance acceptable to the State in full force and effect throughout the term of this contract, until the State certifies that the Contractor's work has been completed satisfactorily. The policy or policies of insurance maintained by the Contractor shall provide the following limit(s) and coverage:

Coverage	Limits
Commercial General Liability (occurrence form)	$2,000,000 combined single limit per occurrence for bodily injury and property damage
Automobile	Bodily injury $1,000,000/person $1,000,000/occurrence Property damage $1,000,000/accident
Professional Liability, if applicable	$1,000,000/claim $2,000,000 annual aggregate

Each insurance policy required by this contract shall contain the following clauses:

1. *"The State of Hawaii is added as an additional insured with respect to operations performed for the State of Hawaii."*

2. *"It is agreed that any insurance maintained by the State of Hawaii shall apply in excess of, and not contribute with, insurance provided by this policy."*

Each insurance policy shall be written by insurance companies licensed to do business in the State or meet Section 431:8-301, HRS, if utilizing an insurance company not licensed by the State of Hawaii.

Automobile liability insurance shall include excess coverage for the Contractor's employees who use their own vehicles in the course of their employment.

The Contractor agrees to deposit with the State of Hawaii, on or before the effective date of this contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during the entire term of this contract. Upon request by the State, Contractor shall furnish a copy of the policy or policies.

The Contractor shall immediately provide written notice to the contracting department or agency should any of the insurance policies be cancelled, limited in scope, or not be renewed upon expiration.

Failure of the Contractor to provide and keep in force such insurance shall be regarded as material default under this contract, entitling the State to exercise any or all of the remedies provided in this contract for a default of the Contractor.

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy or policies of insurance, Contractor shall be obliged for the full and total amount of any damage, injury, or loss caused by negligence or neglect connected with this contract.

If the Contractor is authorized by the Office of Youth Services to subcontract, subcontractor(s) is not excused from the indemnification and/or insurance provisions of this contract. In order to indemnify the State, the Contractor agrees to require its subcontractor(s) to obtain insurance in accordance with the insurance provisions of this contract.

B. Secondary purchaser participation
(Refer to HAR Section 3-143-608)

After-the-fact secondary purchases will be allowed.

Planned secondary purchases. None.

C. Multiple or alternate proposals
(Refer to HAR Section 3-143-605)

___ Allowed _X_ Unallowed

D. Single or multiple contracts to be awarded
(Refer to HAR Section 3-143-206)

___ Single ___ Multiple _X_ Single & Multiple

Criteria for multiple awards: Not applicable

E. **Single or multi-term contracts to be awarded**
(Refer to HAR Section 3-149-302)

___ Single term (2 years or less)   _X_ Multi-term (more than 2 years)

Contract terms: The initial term of the contract shall commence on or after July 1, 2011 or Notice to Proceed, whichever is later, and continue through June 30, 2013. There may be a possibility for extension of the initial award period for one additional 24-month period should funds become available. The maximum length of the contract shall be forty-eight (48) months. The conditions for extension must be in writing and any extension must be executed prior to the expiration of the initial term of the contract and any subsequent extension. The award of a contract and any allowed renewal or extension thereof is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of funds and the quality of program services.

F. **RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider(s). Written questions should be submitted to the RFP contact person and received by the day and time specified in Section 1, paragraph I (Procurement Timetable) of this RFP.

RFP Contact   Martha Torney
Office of Youth Services
820 Mililani Street, Suite 817
Honolulu, Hawaii 96813
Phone: 587-5700
Fax: 587-5734
E-Mail: martha.t.torney@hawaii.gov

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. **Service Activities**
(Minimum and/or mandatory tasks and responsibilities)

1. Service Framework

Proposed Intensive Monitoring Program (IMP) is targeted for youth who have been adjudicated by the Family Court, and have been placed on probation. The goal is to provide intensive supervision for youth, hold them accountable for their behavior and assist youth to be in compliance with the terms and conditions of probation. The service delivery approach shall include the youth's family, whenever possible, in supporting the youth's participation in activities that increase protective factors and decrease risk factors in various domains of the youth's life. Service components shall be provided in a manner that addresses the differing ethnic, racial and gender-specific needs of youth. Services shall be provided by case managers and youth monitors to strengthen the system of supervision and juvenile detention alternatives.

2. Service Activities

Intensive Monitoring Program shall be provided for approximately 400 - 500 youth annually on the following islands: Oahu, 220 – 260 youth; Maui, 80 -100 youth; and Hawaii, 100 – 140 youth. Youth referred shall participate in the program not less than 30 days and not to exceed 90 days, with a projected average length of service of approximately 60 days. The average daily census of youth provided IMP services by islands shall be approximately: Oahu – 40; Maui – 15; and Hawaii – 20.

a. Referral and Implementation Plan

Youth will be referred to IMP by probation officers. The probation officer will contact the IMP case manager and they shall begin to develop an implementation plan for the disposition and terms of probation as ordered by the Family Court (based on the Hawaiian Juvenile Risk/Needs Assessment administered in the First Circuit Family Court; and the Youth Level of Service Inventory and social history provided in the Second and Third Circuit Family Courts).

The implementation plan shall address the terms and conditions of probation, the resources available to address areas identified in the prior assessments (such as substance abuse, anger management, academic difficulties, family relationships, etc.), who shall be making the referrals to these resources, and who will be involved in participating in, delivering, and monitoring of the services. The implementation plan shall be a dynamic document that is revisited throughout the youth's participation in the intensive monitoring services and amended and adjusted based on progress made or problems encountered.

The implementation plan shall address the disposition and terms and conditions of probation, including, but not be limited to, the following elements:

i. Description of the problems that brought the youth into the juvenile justice system;
ii. Individual needs, such as substance abuse, mental health and trauma issues;
iii. Family needs, such as resources, support and parenting skills;

iv. Education needs, such as general education, credit recovery, and GED;
v. Community resources that can address the identified needs of the youth and family; and
vi. The time frame for engaging in services and resources identified in the implementation plan.

Within two working days of receiving the referral from the probation officer and utilizing the assessment information provided by the probation officer the case manager will contact the parents/ legal custodians and the youth, to arrange an in-person meeting to discuss the development of the implementation plan.

Advocacy on behalf of youth and families to secure and follow through with the necessary resources to address compliance with the terms and conditions of probation shall be ongoing.

The case manager shall coordinate and facilitate team meetings, as needed, involving key persons who are responsible for the implementation plan, including the youth monitor, youth's probation officer, family members, and service providers, in order to appraise and assess the progress of the youth, and identify any areas of need to be further addressed.

b. Intensive Supervision

The core service of IMP is intensive supervision. Youth monitors shall provide intensive supervision to monitor the youth's functioning and compliance with the terms and conditions of probation. A maximum caseload of 10 youth shall be assigned each youth monitor. Youth monitors shall provide the following supervision services for a maximum of 90 days:

i. Intensive supervision services shall be provided the youth, including face-to-face contact, indirect surveillance via unannounced, 24 hour in-person visits, telephone calls, and collateral contacts.
ii. Contacts shall be made at random time-frames, the initial contact made within 24 hours of the youth's official referral to the service.
iii. Contact shall be made in a variety of locations (home, school, work, and program service settings). Both announced and unannounced contacts shall be conducted, so that youth are supported to engage and comply with services and resources identified in the implementation, and not to try to deviate from the daily schedules and curfews. Supervision shall emphasize

monitoring of the youth's progress and appraising on-going needs and risks.

iv. The schedule of contacts shall begin with frequent in-person face-to-face visits and telephone calls, and gradually decrease in intensity and type of service, as the youth demonstrates compliance with the disposition and terms and conditions of the probation. The following schedule of contacts outlines the intensive supervision process:

a. Week one (1). Following initial placement into the program. a minimum of seven (7) face-to-face contacts with the youth, and two (2) face-to-face contacts with the parents/legal guardians. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.

b. Week two (2) A minimum of 5 (5) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with all service resources who are providing the youth with services. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.

c. Week three (3). A minimum of 3 (3) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with at least two (2) identified resources who are providing the youth with services. Additionally, three (3) telephone calls per day are expected from the youth to the monitor.

d. Week four (4) and beyond. A minimum of 3 (3) face-to-face contacts with the youth, and one (1) face-to-face contact with the parents/legal guardians. Collateral contacts with at least two (2) identified resources who are providing the youth with services. Additionally, two (2) telephone calls per day are expected from the youth to the monitor.

v. Provide 24-hour availability to respond to crisis situations to assist in stabilizing the situation and make referrals to other services, as appropriate.

c. Documentation and Reports

Documentation of each contact with the youth, family and other collateral contacts shall be made in the youth's file through entry in a field notebook. The field notebook is the approved method of documentation of services provided to youth, and shall include a recording of type, date, time, location, and brief narratives of contacts. A supervisory review of the field notebook shall be completed by the case manager on a bi-weekly basis.

The Applicant shall provide the probation officer with status reports for the youth. The status reports shall be completed weekly and may be transmitted electronically or other mutually agreed upon method. At the completion of the youth's participation in the IMS, a final status report shall be completed and provided to the probation officer within 48 hours of termination of IMP.

d. Transportation Services

It is anticipated that youth will experience significant transportation needs to meet the terms and conditions of probation, such as meetings with the probation officer, attendance at school/educational activities, and participation in services with community-based agencies. Transportation options may include transporting the youth in an agency or personal vehicle, the provision of bus passes, and/or subcontracting for transportation services.

NOTE: APPLICANTS should also examine **Section 4, Proposal Evaluation** of this RFP which provides information on points to be addressed in the proposal and which will be taken in consideration by proposal evaluators.

B. Management Requirements (Minimum and/or mandatory requirements)

1. Personnel

a. The Applicant will provide all personnel necessary for the effective completion of the requested services. This shall include but not be limited to:

   i. The Program Director shall at minimum a Bachelor's degree from an accredited collage or university. Equivalent experience working with youth may be substituted on a year-for-year basis, subject to the approval of the Office of Youth Services. The Program Director shall have a minimum of one-year supervisory/management experience.

   ii. Case Managers shall possess a Bachelor's degree, an Associate's degree with two years of experience working with youth or four years experience working with youth. A combination of education and appropriate experience shall meet this qualification. Degrees must be conferred from an accredited collage or university. Documentation of compliance with this section shall be maintained in the employee's file.

   iii. Youth Monitors staff shall be at least 21 years of age and possess a high school diploma or equivalent. Additionally, staff shall have at least two years of experience working with at-risk youth, preferably youth who have been involved with the juvenile justice system.

b. The Applicant shall maintain a plan for recruitment and retention of staff, and maintain staffing level ratios that specifically addresses handling of vacancies and absences.

c. The Applicant shall detail the Applicant's staff pre-service and in-service training plan with scheduled completion dates and training topics. The training plan shall identify who will provide training and their qualifications. *The training plan must be approved by the OYS prior to implementation.*

d. The Applicant shall ensure that employees do not have a criminal history or background that poses a risk to youth. The Applicant shall conduct employment and reference checks on all employment Applicants. In addition, prior to providing direct services to youth, criminal history record checks (State and FBI Criminal History Check, Sex Offender Registry, and the Child Abuse and Neglect Registry Clearance) shall be conducted, as allowed by statutes or rules, for any person who is employed or volunteers in an position that necessitates close proximity to children or adolescents. Documentation of criminal history record checks shall be maintained in the employee or volunteer's personnel file and shall be available for review. Criminal history record checks, except for the FBI fingerprint check, shall be conducted annually.

e. The Applicant shall develop policies that describe the grounds and circumstances for denial of employment or termination of current employees who have been found to have convictions or pending charges upon completion of any criminal history check or other investigation.

f. The program staff shall have appropriate qualifications and necessary training to provide the propose services and activities and demonstrate knowledge, capacity, skills and experience in working with the target population, and be knowledgeable of positive youth development philosophy and strategies.

g. The Applicant shall have written personnel policies covering selection of staff, salaries, fringe benefits, leaves, job descriptions, and minimum qualifications of each position. Staff salaries shall be sufficiently competitive to recruit and retain qualified staff.

2. Administrative

a. The Applicant is required to meet with the State upon execution of the contract to discuss the development and implementation of the program, and attend additional meetings to further define program elements after implementation.

b. The Applicant is required to maintain detailed records of youth, program activities, and personnel in addition to maintaining an accounting system and financial records to accurately account for funds awarded. Funds shall be budgeted and expended in accordance with applicable State and/or Federal cost principles.

c. The Applicant shall also be required to comply with applicable provisions and mandates of the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HIPAA regulates how individually identifiable health (medical and mental health) information is handled to ensure confidentiality.

d. The OYS reserves the right to make modifications to the scope of the services and in the funding amounts that it is currently unable to anticipate. There may be unique circumstances, not limited to directives and decrees from State and Federal agencies that require these modifications be made to continue or improve services. Additionally should funding be increased or decreased, the OYS reserves the right to add in additional or decrease funds at its discretion.

e. The Applicant shall not utilize youth for any agency solicitation or political campaign purposes.

f. The Applicant may not charge youth and/or their families more than a token amount for program services.

g. Subcontracting arrangements may be allowed if the Applicant is unable to provide components of the requested services directly. **Copies of draft subcontract agreements must be submitted as an attachment to the proposal.** All subcontracts must follow the pricing structure and all other requirements of this RFP.

h. Memoranda of Agreements and working agreements with other agencies for services resulting from awards and contracts of this RFP shall be submitted to the OYS for review for appropriateness and relevancy.

i. The successful Applicant will be required to enter into a formal written Contract with the Office of Youth Services in accordance with the laws, rules and regulations of the State of Hawaii. The RFP and Applicant's proposal shall be incorporated in the Contract by reference.

The stated requirements appearing elsewhere in this RFP shall become part of the terms and conditions of the resulting Contract. Any deviations thereof must be specifically defined by the Applicant in its proposal which, if successful, will become part of the Contract.

The funds available for this project are limited. The OYS reserves the rights to contract for only those services which appear to be in the best interests of the OYS.

Upon award, the OYS will forward the formal Contract to the successful Applicant for execution. The Contract shall be signed by the successful Applicant and returned, together with required insurance documents (including indemnification), and other supporting documents, within ten (10) calendar days after receipt by the Applicant, or within such further time as the Executive Director may allow.

No such Contract shall be binding upon the OYS until the Contract has been fully and properly executed by all the parties thereto and the State Comptroller has, in accordance with Section 103-39, Hawaii

Revised Statutes, endorsed thereon his certificate that there is an appropriation or balance of an appropriation over and above all outstanding contracts, sufficient to cover the amount required by the Contract during the fiscal year. Further, the Contract shall not be considered to be fully executed until the Department of the Attorney General of the State of Hawaii has approved the Contract as to form.

The OYS reserves the right to cancel the Contract without cause and to request new proposals for the work.

j. No Supplementary Agreement shall be binding upon the OYS until the Agreement has been fully and properly executed by all parties thereto prior to the start date of Agreement. The PROVIDER shall not provide any services until the Agreement is fully and properly executed.

Any work performed by the successful Applicant prior to receipt of a Notice to Proceed shall be at the Applicant's own risk and expense. The State of Hawaii and the OYS are not and will not be liable for any work, contract costs, expenses, loss of profits or damages whatsoever incurred by the successful Applicant prior to the receipt of a Notice to Proceed.

The Provider is responsible to purchase or lease, with available funding, all the necessary furniture and equipment needed to perform the services. Prior approval must be obtained from the OYS for the initial purchase of equipment, furniture, supplies, etc. which are required for this Contract. Subsequent purchases of equipment above $250 (that has a useful life of more than one year) shall require prior approval. Upon termination of the contract equipment, furniture and supplies purchased must be returned to the OYS. Telecom request to install or de-install any server, computers and printer related equipment, and telecommunication must be submitted to the Department.

3. Quality assurance and evaluation specifications

a. All contracts shall be monitored by the OYS in accordance with requirements set forth by Chapter 103F, Hawaii Revised Statutes. Contract monitoring shall include but may not be limited to:

1) The review of amendments and approvals, deemed appropriate by the OYS, of the contract's program items, especially the outcomes plan, the performance targets and milestones, the assurance of collaboration, quarterly program reports, and other documents submitted to the OYS.

2) Periodic site visits, scheduled and unscheduled, with comprehensive written evaluation of the major program service areas, such as:
   i. Staff qualification, organization, and effectiveness.
   ii. Outcomes planning, implementation, and evaluation.
   iii. Collaboration (Informal and formal agreements and subcontracts).
   iv. File maintenance and record keeping.
   v. Facility accessibility, suitability, and safety.
   vi. Transportation and other liability issues.
   vii. Consumer satisfaction.

3) The Applicant shall allow the OYS access to all materials, files, and documents relating to the provision of services. In addition, the OYS may, at its discretion, observe individual, group, and educational sessions conducted by the Applicant.

b. The Applicant must maintain for the term of the contract the system of evaluation developed by the OYS, including the use of evaluation tools and reporting forms. In addition, the Applicant must take corrective actions the OYS deems necessary in light of the evaluation data.

4. Performance Plan

The Applicant shall consult with the OYS concerning performance targets and milestones and, within 30 days of contract execution, submit a Performance Plan utilizing the outcomes framework, through the completion of OYS Form 4-1 which is attached to this RFP. To assist the Applicant in completing Form 4-1, A Crash Course in the Outcomes Framework (August 2003) is also attached.

5. Experience

The Applicant must demonstrate a thorough understanding of the purpose and scope of the service activities, as well as the necessary skills, abilities, and at least two (2) years experience actually delivering the types of services proposed herein in response to this RFP. Experience with youth involved with the juvenile justice system is preferred but not essential.

6. Coordination of services

Funded programs shall coordinate with related Federal, State, school, and community efforts and resources to foster interactions and environments that promote positive youth development and healthy behaviors for youth.

7. **Reporting requirements for program and fiscal data**

Contracts are programmatically and fiscally monitored by the OYS. Monitoring includes the review of program reports and services; budgets and revisions (as approved by the OYS); invoices and expenditure reports; and any issues applicable to services provided. Monitoring will take place at a variety of locations including the Applicant's administrative office and the site(s) of service delivery.

Timely program reports as specified by the OYS will be due quarterly and at the end of each budget period.

A monthly invoice for operational costs shall be prepared and submitted to the OYS by the 10^{th} of each month in accordance with the agreed upon Compensation and Payment Schedule. Additionally, the PROVIDER shall submit a final invoice upon termination of the contract.

C. Facilities

Applicants shall assure the adequacy of the facilities that will be used to conduct the proposed service to ensure the safety and well-being of the target population

IV. COMPENSATION AND METHOD OF PAYMENT

Cost Reimbursement

The OYS shall consider cost proposals on a cost reimbursement pricing structure. The cost reimbursement pricing structure reflects a purchase arrangement in which the purchasing agency pays the provider for budgeted agreed-upon costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

Payments shall be made monthly upon submission of an original invoice reflecting the cost of services provided during a specific month.

All budget forms, instructions and samples are located on the SPO website (see the Proposal Application Checklist in Section 5 for website address). The following budget form(s) shall be submitted with the Proposal Application:

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island
SPO-H-206D	Travel - Out-of-State*

SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts
SPO-H-206G	Indirect Costs
SPO-H-206H	Other Costs
SPO-H-206I	Equipment Purchases*
SPO-H-206J	Motor Vehicle

*Expenditures require justification and prior approval.

If any one of the above forms is not applicable, please note as "N/A" on the form.

The Applicant may dedicate the first quarter of the contract to establishing the program. Charges that will be allowed during this period include the following:

- General administration personnel costs based on cost allocation.
- Costs of advertising for program positions.
- Prorated personnel costs for existing staff, such as the Applicant's program director, which will be dedicating more than 25% of their time planning and implementing the program.
- Personnel costs for newly hired employees dedicated to the new Intensive Monitoring Program.
- Staff training related to delivery of services.
- Insurance.
- Lease/rental of space.
- Utilities.
- Necessary supplies to initiate the program services.

Section 3

Proposal Application Instructions

Section 3
Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section. Information not located in the place designated in the outline shall not be considered in the rating of the proposal.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposal Applications shall utilize 12-pitch font with no reduction in character spacing and position, and scale at 100%. Page margins shall be one inch all around.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for* ***each*** *item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are* ***strongly*** *encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application comprises the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

I. Program Overview (Not to exceed 2 pages)

Applicant shall give a brief overview to orient evaluators as to the program/services being offered. Include:

- ♦ Location of the services (Oahu, Maui or Hawaii)
- ♦ How proposed services align with Applicant's mission and vision;

- Description of the goals and objectives related to the service activity; and
- How the proposed services will meet the needs and impact the development of the target population.

II. Experience and Capability (Not to exceed 5 pages)

A. Necessary Skills

The Applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services. If the Applicant intends to use subcontractors, subcontractors experience shall also be included.

B. Experience

The Applicant shall demonstrate a minimum of two years experience in providing services to youth, in addition to providing a description of current projects/contracts pertinent to the proposed services (previous projects/contracts may be considered if relevant). The Applicant shall include points of contact, addresses, e-mail/phone numbers. The State reserves the right to contact references to verify experience. If the Applicant intends to use sub-contractors, the experience of the identified subcontractors must also be included.

C. Quality Assurance and Evaluation

The Applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The quality assurance plan shall indicate how the applicant will monitor compliance with the terms of the agreement and adherence to internal policies and procedures, and shall include how corrective action will occur. The evaluation plan shall address the effectiveness of program delivery (process evaluation).

D. Coordination of Services

The Applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

If the Applicant intends to use subcontractors, draft Memorandums of Agreement shall be included in the proposal.

E. Facilities

The Applicant shall provide a description of the program site facility and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities will meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing (Not to exceed 3 pages)

A. Staffing

1. Proposed Staffing

The Applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.)

2. Staff Qualifications

The Applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. Attach position descriptions and resumes for the Applicant's administrative staff (director, deputy, chief financial position, program administrator, etc.) in addition to position descriptions for the proposed program staff. (Refer to the qualifications in the Service Specifications, as applicable.)

B. Project Organization

1. Supervision and Training

The Applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

2. Organization Chart

The Applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application.

IV. Service Delivery (Not to exceed 20 pages)

The Applicant shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work. The discussion of the proposed service delivery shall include:

- A brief summary of the organization's philosophy and service framework and describe how the framework reflects/relates to the OYS Strategic Plan: 2008-2013, which is found at http://hawaii.gov/dhs/youth.

- A clear and concise work/service plan that clearly describes the flow of services to be provided youth from program entry to program completion, including all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules. The work plan must be broken down into quarters, with the first quarter dedicated to planning and development of the service including hiring and training staff. The first quarter shall include the steps to be taken in planning and implementing the required services and related activities..

  A schematic representation of the workflow may be included as an attachment.

- A description of the approach and strategies to be used to address the specific service activities that clearly describes who shall deliver each service component, including:
  - Referral process from probation officer
  - Development of the Implementation Plan
  - Advocacy on behalf of the youth and family
  - Intensive supervision services for youth
  - Documentation and status reports
  - Transportation Services

- Identification of service activities that may be subcontracted and the name of the agents that will provide those services.

- A summary of training that will be provided to staff.

V. Financial

A. Pricing Structure

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency (cost reimbursement). The cost proposal shall be attached to the Proposal Application.

All budget forms, instructions and samples are located on the SPO website (see Section 1, paragraph II Websites referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island
SPO-H-206D	Travel - Out-of-State*
SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts

SPO-H-206G	Indirect Costs
SPO-H-206H	Other Costs
SPO-H-206J	Motor Vehicle

B. Other Financial Related Materials

1. Accounting System

In order to determine the adequacy of the Applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal:

a. Latest Single Audit Report of Financial Audit.
b. Cost Allocation Plan, which demonstrates Applicant's expenditures are allocated based on a plan that is reasonable, appropriate, and lawful.

2. Accounting Personnel

a. Applicant must state which staff positions are responsible for maintaining accounting records and fiscal reporting and approximately the number of hours a week that are devoted to this function.

b. Applicant shall describe what accounting qualifications are required for each of these positions if not detailed in the submitted Section III: Personnel: Project Organization and Straffing.

c. Applicant shall state which staff positions will be responsible for filing timely expenditure reports and invoices required by this RFP.

VI. Other

A. Litigation

The Applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

Section 4

Proposal Evaluation

Section 4
Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

Evaluation Categories		Possible Points
Administrative Requirements		**N/A**
Proposal Application		**100 Points**
Program Overview	0 points	
Experience and Capability	20 points	
Project Organization and Staffing	15 points	
Service Delivery	55 points	
Financial	10 Points	
TOTAL POSSIBLE POINTS		**100 Points**

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

- Application Checklist
- Certificate of Vendor Compliance

NOTE: if Applicant has not registered with Hawaii Compliance Express, the Applicant must provide a Tax Clearance Certificate and a Certificate of Good Standing.

2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of Proposal Application (100 Points)

Program Overview: No points are assigned to Program Overview. The intent is to give the Applicant an opportunity orient evaluators as to the service(s) being offered in response to the Request for Proposals. The Applicant shall highlight the agency's mission and vision and the goals and objective of the proposed service activity relative to the assessed needs and available resources of the target population and geographic region identified for the service delivery.

1. *Experience and Capability (20 Points)*

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

A. Necessary Skills 3

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- Demonstrate skills, abilities and capacity to deliver proposed services in the identified geographic region for the target population.

B. Experience **5**

- Demonstrate minimum two (2) years experience delivering services related to request for services.
- Demonstrate experience successfully delivering services for the target population. Document evidence such as awards, certificates, and outcomes.

C. Quality Assurance and Evaluation **4**

- Sufficiency of quality assurance and corrective action, including methodology.
- Sufficiency of evaluation plans to assess program implementation, fidelity to program model, and youth participation and success in the service program.

D. Coordination of Services **3**

- Demonstrated capability to coordinate services with other agencies and resources in the community. Past Memorandum of Agreements/Understanding, letters document this ability.
- Sufficiency of collaboration and coordination plans related to implementation of proposed services.
- Documented support and involvement of agencies and community for proposed services. Draft MOA/MOUs with proposed sub-contractors.

E. Facilities 5

- Adequacy of facilities relative to the proposed services.
- Facilities meet ADA requirements, as applicable.

2. *Project Organization and Staffing (15 Points)*

The State will evaluate the applicant's overall staffing approach to the service that shall include:

A. ***Staffing***

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. **4**
- Staff Qualifications: Job descriptions and minimum qualifications (including experience) for staff assigned to the program are included. The number of program service positions is sufficient to ensure effective program/service delivery. **4**
- Proposal includes resumes of key staff that list experience with related or similar services and target population

B. ***Project Organization***

- Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. **4**
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks is diagramed. **3**

3. ***Service Delivery (55 Points)***

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the POS Proposal Application. The following will be considered in this evaluation:

- A work/service plan that clearly describes the flow of services to be provided youth from program entry to program completion, with the first quarter dedicated to establishing the Intensive Monitoring Program. The work/service plan addresses the project goal, objectives, service activities and tasks to be completed, including clarity in work assignments and responsibilities, and timelines and schedules. **8**
- Description of the referral process from probation officer and development of the Implementation Plan for youth, including the involvement of the youth and their families. **6**
- Description of how the case manager will provide **8**

advocacy on behalf of the youth and family to address compliance with the terms and conditions of probation process.

- Description of how the youth monitor will provide intensive supervision services for youth, including details of types and intensity of contacts, and 24-hour availability to respond to crisis situations. **15**
- Description of how documentation will occur, and status reports to be provided to the probation officer. **8**
- Description of how transportation services will be provided. **10**

4. ***Financial (10 Points)***

- Cost proposal and required support documentation and justification included. **1**
- Personnel costs are reasonable and comparable to similar positions in the community. **2**
- Non-personnel costs are reasonable and adequately justified. **1**
- Proposed budget fully supports the service activity and requirements of the RFP. **3**
- Adequacy of accounting system (evidence of valid tax clearance, recent audit, and cost allocation plan). **1**
- Positions and personnel responsible for fiscal operations and reporting identified and qualified. **1**
- Staff responsible for maintaining accounting records and filing required expenditure reports identified. **1**

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

A. Proposal Application Checklist

B. Sample Table of Contents

C. Performance Plan, OYS Form 4-1

D. A Crash Course on the Outcomes Framework

ATTACHMENT A
Proposal Application Checklist

Applicant: ______________________________ RFP No.: HMS 501-11-02

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms ore on the SPO website. See Section 1, paragraph II Website Reference.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)			X	
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*	X	
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Performance Plan, Form 4-1	Section 2, RFP	Section 5, RFP		

______________________________ Authorized Signature ______________ Date

ATTACHMENT B
Organization: ________________
RFP No: ______________

Proposal Application
Table of Contents

Office of Youth Services
PERFORMANCE PLAN
(Submit One Copy For Each Target Group)

Note: To X a ☐, Double Click On It, Select "Checked" Option

Outcomes Plan Number (Check One): ☐ 1 Target Group ☐ 2 Target Group	Service Area for This Contract (Check One):		Date Submitted	Prepared By (Signature)	Date Approved	Approved By (Signature)
Contract Number: DHS-____-OYS-____	☐ Attendant Care	☐ Positive Youth Development	__/__/__		__/__/__	
	☐ Diversion/Aftercare	☐ Residential Emergency Shelter				
	☐ Education/Vocation Services	☐ Residential ILP				
Agency:	☐ Homelessness	☐ Residential Level I	__/__/__		__/__/__	
Contract Start Date: __/__/___	☐ Non-School Hours	☐ Residential Level II	__/__/__		__/__/__	
Contract End Date: __/__/___	☐ Outreach & Advocacy	☐ Truancy Prevention	__/__/__		__/__/__	
	☐ Youth Gang Prevention	☐ Other ________				

Target Group Description

Codes	Target Type Codes (Use to Code Targets on the Following Pages)
	Risk Factors
RF1	Reduce Delinquency (Including All Status Offense)
RF2	Reduce Arrests
RF3	Reduce Disproportionate Minority Contact (DMC)
RF4	Reduce Substance Use, Abuse
RF5	Reduce Anger, Violence
RF6	Reduce Gang Activity
RF7	Reduce Risk for Pregnancy
RF8	Reduce Alienation
	Protective Factors
PF1	Increase Accountability and Independent Living Skills
PF2	Improve Family Relationships
PF3	Increase Connectedness with Community
PF4	Increase Cultural Awareness, Appreciation
PF5	Improve Self-Image, Self-Esteem
PF6	Increase Pro-social Behavior and Social Competency
PF7	Increase Health, Physical Competencies
PF8	Increase Educational Competency (Improve GPA, Attendance)
PF9	Increase Vocational Competency (Career Exploration, Job Training)
PF10	Increase Family, Community Support of Youth's Program
	MAJOR LIFE DOMAINS TARGETED
D1	Individual
D2	Peer
D3	Family
D4	Community

Risk Level Targeted (Check One Level Only)	Regions Targeted (Check One or More)
☐ **Risk Level I** • At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors.	☐ Statewide (All Islands) ☐ Oahu (All) ☐ Oahu: Central ☐ Oahu: Honolulu ☐ Oahu: Leeward ☐ Oahu: Windward ☐ Hawaii (All) ☐ Hawaii: East ☐ Hawaii: West ☐ Kauai (All) ☐ Maui (All) ☐ Maui: Lanai ☐ Maui: Molokai
☐ **Risk Level II** Any One of the Following: • Status offender: Chronically truant, runaway. • Involved in gangs, violence, or substance abuse. • Experiencing serious family problems. • Abused and/or neglected.	
☐ **Risk Level III** Any One of the Following: • Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. • Involved in felony activity. • Court adjudicated. • At-risk for out-of-home placement. • At-risk for secure confinement.	
☐ **Risk Level IV** • Chronic serious offender requiring secure confinement for safety of public and/or of self.	

Performance Plan

Instructions:
1. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
2. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. <u>SUBMIT THIS PLAN TO OYS</u> within thirty days of contract execution.
3. Each quarter fill in actual (A) number of youth achieving each milestone. <u>DO NOT SUBMIT TO OYS,</u> BUT KEEP ON FILE.

P T		**Performance Target** (& Milestones to Performance Target)			1st		2nd		3rd		4th		One Year		
1		Performance Target (Arial Narrow, 8 Point Type) from Scope of Services: PT Type (See Target Type Codes):		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	*Releases To Date
		Milestones	Sources of Verification												
	a.	Milestone (Registration):													
	b.	Milestone:													
	c.	Milestone:													
	g	Milestone:													
	h.	Milestone (Last Milestone Is Achieving the Performance Target):													

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period ***Under this Contract***.

Performance Plan

Instructions:

4. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
5. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. SUBMIT THIS PLAN TO OYS within thirty days of contract execution.
6. Each quarter fill in actual (A) number of youth achieving each milestone. DO NOT SUBMIT TO OYS, BUT KEEP ON FILE.

PT		Performance Target (& Milestones to Performance Target)			1st		2nd		3rd		4th		One Year		
2		Performance Target (Arial Narrow, 8 Point Type) from Scope of Services: PT Type (See Target Type Codes):		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	*Releases To Date
		Milestones	Sources of Verification												
	a.	Milestone (Registration):													
	b.	Milestone:													
	c.	Milestone:													
	g	Milestone:													
	h.	Milestone (Last Milestone Is Achieving the Performance Target):													

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period ***Under this Contract***.

Performance Plan

Instructions:

7. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
8. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. <u>SUBMIT THIS PLAN TO OYS</u> within thirty days of contract execution.
9. Each quarter fill in actual (A) number of youth achieving each milestone. <u>DO NOT SUBMIT TO OYS,</u> BUT KEEP ON FILE.

P T		Performance Target (& Milestones to Performance Target)			1st		2nd		3rd		4th		One Year		
3		Performance Target (Arial Narrow, 8 Point Type) from Scope of Services: PT Type (See Target Type Codes):		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	*Releases To Date
		Milestones	Sources of Verification												
	a.	Milestone (Registration):													
	b.	Milestone:													
	c.	Milestone:													
	g	Milestone:													
	h.	Milestone (Last Milestone Is Achieving the Performance Target):													

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period ***Under this Contract***.

Performance Plan

Instructions:

10. Referencing the Scope of Services, fill in performance target information, including sources of verification (i.e., "Youth Self-Reports", "Grades.")
11. Fill in projections (P) for number of youth expected to achieve each milestone in each quarter. <u>SUBMIT THIS PLAN TO OYS</u> within thirty days of contract execution.
12. Each quarter fill in actual (A) number of youth achieving each milestone. <u>DO NOT SUBMIT TO OYS,</u> BUT KEEP ON FILE.

P T	Performance Target (& Milestones to Performance Target)			1st		2nd		3rd		4th		One Year		
4	Performance Target (Arial Narrow, 8 Point Type) from Scope of Services: PT Type (See Target Type Codes):		#Carryovers from Previous Budget Period Under this Contract	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	*Releases To Date
		Milestones	Sources of Verification											
	a.	Milestone (Registration):												
	b.	Milestone:												
	c.	Milestone:												
	g	Milestone:												
	h.	Milestone (Last Milestone Is Achieving the Performance Target):												

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Budget Period ***Under this Contract***.

Attachment D

A CRASH COURSE ON THE OUTCOMES FRAMEWORK:

The Basics on Outcomes, Performance Targets and Milestones

DEVELOPED FOR THE

OFFICE OF YOUTH SERVICES

Strengthening Communities • Building For The Future •

HAWAII COMMUNITY SERVICES COUNCIL

The Office of Youth Services Commitment to Results Accountability and the Outcomes Framework

The Office of Youth Services (OYS) continues to support the outcomes framework to guide programmatic efforts to provide effective programs and services for youth; verify that public resources are expended in an effective and accountable manner; procure services that truly impact our youth in a significant and sustained way; and verify that contracted agencies achieve the intended program "outcomes."

It is vital that youth service agencies understand and commit to the application of the outcomes framework (outcomes, performance targets and milestones) in providing services contracted by the OYS. Performance results will continue to be viewed and outlined based on the outcomes framework and provide the foundation on which statewide services supported by the OYS are developed, implemented, maintained, and evaluated.

Definitions of Key Concepts and Terminology

Clarity about key concepts and terminology is essential to effectively using the outcomes framework. Many of these terms are used in our workplaces and by other funders. Unfortunately, there is little consistency in the use of the terminology between different arenas. Therefore, it is essential that you be aware of the potential for variation and be prepared to translate your work accordingly.

The key concepts and terms below are defined in accordance with their application by the Office of Youth Services. To aid in your ability to translate the definition appropriately for your workplace or other funders, we have included alternative terms that are often used to describe the same concept. Please be aware that the alternative list of terms may be not be comprehensive.

1 Program Outcome

- Expresses the agency's ideal state: ***"All children and youth will lead drug-free lives."***
- Often represents a portion of the agency's over-arching purpose or mission.

Alternative Terms:

- Program Mission
- Program Goal
- Community-Level Outcome

2 Performance Target

- The anticipated amount of ***change in the program participants*** that occurs as a ***consequence of the service provided*** by the agency.

- The performance target will address changes in the program participants in one or more of the following areas:

  - ✓ **Skills & knowledge**
  - ✓ **Behavior**
  - ✓ **Attitude**
  - ✓ **Environment**

Example:

40 of the 100 youth participating in the Individualized Educational Counseling Program will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75 within 6 months of entering the program, and maintain or improve on these gains for an additional 6 months.

- In some cases, such as the Office of Youth Services, the performance target has been established by the funder. The performance target may be stated in the Request for Proposal.

- The performance target ***does not*** ***reflect the actions or behaviors of the agency's staff members in the delivery of program services*** *(see Program Activities).*

Alternative Terms:

- ➢ Results
- ➢ Outcomes
- ➢ Impact
- ➢ Product
- ➢ Success
- ➢ Goal
- ➢ Objective

3 Milestones

- ***Intermediate actions made by program participants*** that indicate they are ***on the path to successfully achieving the performance target.***

  Example:

  If the *performance target* for an educationally at-risk youth is to graduate high school, ***milestones*** on the path to graduating might be:

  1. ***attend school***
  2. ***do homework and class work***
  3. ***do homework and class work successfully***
  4. ***improve grades***
  5. ***pass all tests***

- The milestones ***do not*** ***reflect the actions or behaviors of the agency's staff members in the delivery of program services*** *(see Program Activities).*

- Milestones ***begin at the agency's first point of contact*** with program participants and ***typically conclude after a follow-up period*** is completed after the conclusion of direct services. This may vary by program.

- ***Agencies choose which milestones to track and report***, in agreement with their monitoring bodies or funder, such as the Office of Youth Services, ***that most effectively communicate the success of program participants in achieving the performance target.***

- Agencies need to ***think strategically*** about which milestones most effectively communicate their success with program participants, and at the same time can be efficiently documented on an ongoing basis. Typically, agencies should not attempt to collect data on all the milestones that occur, as this would be too time consuming and costly.

Alternative Terms:

- Mini-outcomes
- Program data on participants' changes
- Objectives

4 Milestone Funnel

- A ***method for tracking and reporting participants' achievement of milestones***. This method is used as a means of ensuring accountability. It is used primarily by government funders that have a responsibility for monitoring the effective use of taxpayer dollars invested for the community good.

- The milestone funnel ***presumes a linear program structure*** where program participants enter the program services and engage in a series of progressively improving changes that ultimately lead to the achievement of the overall performance target. The milestone funnel ***may be modified to accommodate non-linear program services.***

- The ***"funnel" concept represents a belief that many participants will make progress towards the overall performance target, achieving some, but not all of the milestones.*** Consequently, the reported numbers show the largest amount of participants at the point of entry and decreases over the number of milestones, thus creating the "funnel effect."

Sample Milestone Funnel:

Milestone	Anticipated # Achieving Milestone
1. Agree to participate in individualized educational counseling	100
2. Attend school regularly	60
3. Do homework/classwork	30
4. Do homework/classwork successfully	20
5. Improve grades	17
6. Pass all required tests	15

Performance Target:
Educationally at risk youth graduate from high school **15**

4 Milestone Funnel continued

- Over time, the ***analyzed data of the milestone funnel should lead to insights about how to improve program services to enable more participants to increase their successes*** and move further along on their milestones.

Alternative Terms:

- Reporting form
- Program Flow
- Service Flow

5 Indicators

- The ***means of verification, through direct or indirect measures, of the successful achievement*** of the milestones and/or performance target.

- Regularly ***observable*** events or behaviors that suggest program participants are making the desired changes leading to the performance target, or that the performance target has been achieved.

Examples:

✓ ***Self-report***
✓ ***Report from spouse and friends***
✓ ***Teacher report***
✓ ***Staff member observation***
✓ ***Home visit report***
✓ ***Disinterested third-party documentation, such as attendance records, report card, employer confirmation, pay stubs, etc.***
✓ ***Pre-post test***
✓ ***6 month follow-up phone interview***

Alternative Terms:

➢ Measures of success

6 Program Activities

- The ***work performed by program staff.*** The services program staff provide that are intended to help program participants create change in their lives.

  Examples:

  ✓ ***Outreach***
  ✓ ***Intake***
  ✓ ***Leadership development workshop***
  ✓ ***Individualized counseling***
  ✓ ***After school tutoring***

- Health and human service programs, whether nonprofit or public, believe that the provision of quality activities by competent staff members enable program participants to create valuable changes in their lives. Therefore, ***program activities are essential to the achievement of the participants' milestones and performance target.***

- Program activities ***do not*** ***reflect changes in skills & knowledge, behavior, attitude or environment that occur for program participants.***

- The program activities employed by an agency are ***a reflection of the theory of change it holds for its participants***, based on its underlying philosophy, assumptions and values.

Alternative Terms:

- Outputs (the activity and volume at which it occurs)
- Methodology
- Program service delivery
- Process

6 Program Activities continued

Example:

Program Actions: What Program Staff Do	**Participant Expected Actions:** What Participants Do as a Result (Milestones)	**Anticipated Results:** # Expected to Achieve Milestone
Outreach and intake	1. Agree to participate in individualized educational counseling	**100**
Wake up call/Transportation	2. Attend school regularly	**60**
After school tutoring	3. Do homework/classwork	**30**
After school tutoring	4. Do homework/classwork Successfully	**20**
Test taking coaching	5. Improve grades	**17**
Test taking coaching	6. Pass all required tests	**15**
	Performance Target: Educationally at risk youth graduate from high school	**15**

Establishing a Performance Target

Now that we have a firm handle on the key terms involved in the outcomes framework, we turn our attention to the process of developing a performance target. ***A well articulated performance target has the following elements clearly identified:***

- **WHO** is being served in the program (the target population)
- **WHAT** change is expected for the program participants (in skills & knowledge, behavior, attitude and/or environment)
- **HOW MUCH** change is expected for the program participants
- **BY WHEN** the change is expected for occur for the program participants
- **AS INDICATED BY** regularly observable and verifiable signs that desired changes have occurred

Succinctly put, a performance target **answers the question, "What is success?"**

Sample Performance Target:

	For the program year 2004-05,
• **WHO**	of the 100 educationally at-risk youth registered in the individualized educational counseling program,
• **WHAT and HOW MUCH**	40 will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75
• **BY WHEN**	within 6 months of entering the program and maintain or improve on these gains for an additional 6 months
• **AS INDICATED BY**	as indicated by their attendance record, quarterly report cards, and teacher reports.

Identifying Milestones

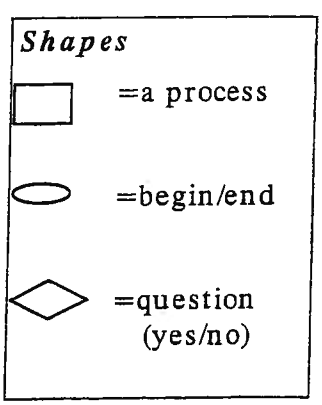
Identifying milestones leading to the achievement of the performance target is essential to the outcomes framework. It requires an understanding of both program activities and the changes occurring for the program participants. We need to understand when the cumulative efforts of program activities can be expected to result in observable change among program participants.

If we try to generate milestones by brainstorming a list of observable changes among program participants, it is likely the list will be incomplete, in random order and include many program activities. There is a tool called ***process mapping***, or flow charting, that is very helpful in identifying, in detail and in order of occurrence, both program activities and the milestones leading to the achievement of the performance target.

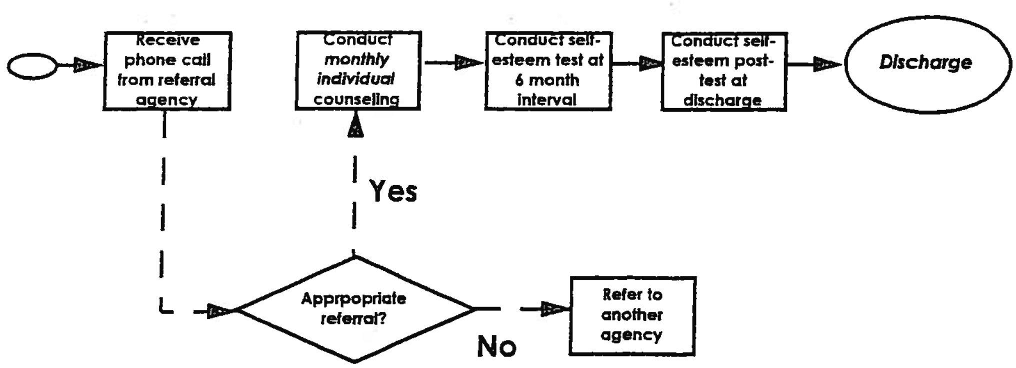
Process maps can be very general, using a few broad steps to indicate major process areas. Or they can be very detailed, breaking out each single step in the process. Although the latter option can be a bit tedious in the development, this detailed view of program service delivery, outlining both staff and participant actions, is extremely useful in developing a common understanding of the program and aids in the design of the milestone funnel.

Although many examples of process maps are drawn in a linear fashion, they do not need to be limited in that manner. In fact, process maps are very useful in showing how some services loop back to other services, or how many pathways lead to a common change or activity later on.

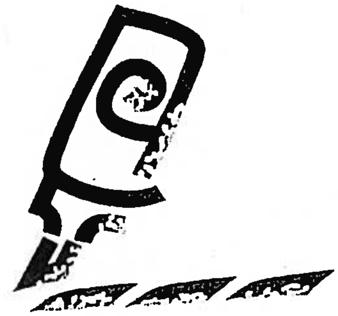
Sample Process Map



Example: A *process map* for a health and social service program.



Tips for Process Mapping



1. Suggested materials:
   - Large sheet of paper
   - 3 x 5 in. post-its or colored markers
   - A general or detailed understanding of the program services

2. **Optional:** Utilize three shapes to help indicate the type of activity occurring. An oval indicates the beginning and the end of a series of process steps. A square indicates a step in the process. A diamond indicates a yes/no question, for example, "Is the participant eligible for services?" Arrows are used to connect the shapes and show the direction of action. If this feels too complicated, just use the squares and arrows. Using post-its allows flexibility in adding items or changing the order.

3. Come to the process map from the perspective of a program participant.

4. Begin with how the program participant enters into the program services. (self-referred, referred by others, make a phone call, receive a flyer, etc.). Make sure you list all the avenues by which participants may enter the program.

5. Once participants have entered the program, map the actions that occur. Try saying, "First we (staff) do this. Then what happens? Do participants do something in response? Is there another staff action that must occur next?" Keep in mind that staff actions will be more numerous than program participant actions, but you want to capture both.

6. **NOTE: Program participant actions represent milestones on the participant's pathway to successfully achieving the performance target.**

7. Map all the variations that occur following any yes/no questions. "If this happens, then what?"

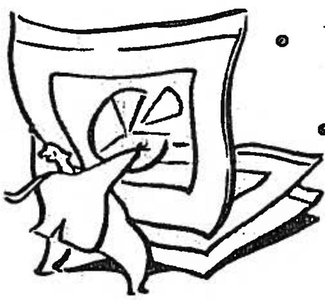
8. Map all the ways in which program participants depart the program. This includes the ideal scenario of successful completion of the performance target and intermediate junctures when participants leave without completing the entire program.

Using the Process Map to Create Your Milestone Funnel

- Use the process map to ***identify program participant milestones***. Write them down, in order, on the milestone funnel (see Milestone Worksheet on next page).

- You may have more milestones than you want or can afford to track properly for monitoring purposes. ***Select the most critical milestones that can be verified and that clearly relate to the achievement of the performance target***.

- You should ***seek agreement*** with your funder that the milestones you have outlined to achieve the desired performance target will satisfy their reporting requirements.

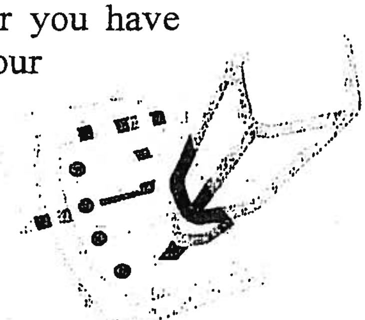


- Your next step is to ***implement data collection***.

- All this process mapping, milestone funneling and data collection is a lot of work if you use it for reporting purposes only. ***Analyze the data and look for information that will help you improve your program services*** and increase the number of program participants who achieve the desired performance target.

Great Ways to Use the Process Map

- Sitting back and looking at the completed picture after you have drafted the process map, then writing down your ***observations for improvements***. Once the map is outside of our heads we often see ***great opportunities for streamlining or improving the process***.



- Ensuring all ***staff members share a common understanding of the work*** they are engaged in and ***have appropriate expectations for program participants***.

- ***Training and orientation*** for new staff.

- ***Educating board members***, particularly those on the Program Committee.

Participant Steps: MILESTONES Worksheet

Program Actions: What PROGRAM STAFF Do	**Expected Participant Actions:** What PARTICIPANTS Do As a Result	**Anticipated Results:** Number Expected to Achieve	**Verification:** How You Know Participants Achieved
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.
6.	6.	6.	6.
7.	7.	7.	7.
8.	8.	8.	8.
9.	9.	9.	9.
10.	10.	10.	10.
	Performance Target Statement:	**Anticipated Level of Achievement:**	**Verification of Performance Target:**

Critiquing a Milestone Funnel

Below is a suggested process for reviewing a milestone funnel and assessing whether or not it meets the quality required.

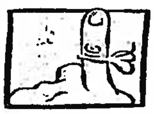
1. Read the performance target.
2. Read the milestones.
3. Do the milestones seem connected to the performance target?
4. Do the milestones appear to be in a logical order?
5. Are there any significant gaps in milestones? *(Keep in mind that you have been advised not to track everything, and to only track actions that can be verified.)*
6. Do the milestones represent changes in the participants *(not agency staff activity)*?
7. Do these milestones logically lead the achievement of the performance target?

8. Read the numbers.
9. Do they add up properly?
10. Do they funnel?
11. How has the carry forward of program participants from the proceeding year been handled?
12. How are you documenting the achievement of milestones and the performance target?
13. This is a reporting form of selected measures – do the milestones represent critical steps or are they trying to do too much?

Common Mistakes

1 Confusing Program Activities for Milestones

The most common mistake in identifying performance targets and milestones is the **misidentification of program activities or services as the change occurring for program participants**. While it is true that the program services assist participants in creating change in their lives, they represent the process by which agencies guide change, not the change itself.



Here is an easy test that will allow you to **distinguish performance targets and milestones from activities and outputs**. When considering the item, ask yourself whose behavior the item refers to. For example:

- If you find yourself saying, "**WE** do this activity," you are ***describing program activities and outputs*** - the work staff performs.

- If you find yourself saying, "**THEY** do this activity" or "**THEY** take this action", you are describing ***milestones or performance targets*** - the observable changes made by program participants.

Example:

Program Activities and Outputs for **Youth Employment Training Program** (Annual Figures)

- ***We*** *provide # of orientations*
- ***We*** *provide # of Positive Lifestyle workshops*
- ***We*** *provide # of leadership/team-building events*
- ***We*** *provide # of employment skills development workshops*
- ***We*** *provide # of follow-up assessments*

Performance Target for **Youth Employment Training Program**

Of 40 high school youths, 24 will have obtained one or more of the following within 1 semester of program participation:

- ***They*** *will perform 10 hours of job shadowing and/or volunteer opportunities*
- ***They*** *will do an internship*
- ***They*** *will have an interview with a prospective employer*
- ***They*** *will demonstrate job skills (such as commitment, career interest attitude, importance of appearance and presentation)*
- ***They*** *will gain employment*

2 Milestone Funnels that Don't Funnel

Milestone funnels that don't funnel are an extremely common occurance. Check your process map to see if you have dis-ordered the steps that lead to the next logical step in the change process for the majority of program participants.

Remember, the milestone funnel presumes a linear program structure. If your program services are not linear, then it is likely that your milestone funnel isn't funneling clearly. If you have a non-linear process map and have difficulty translating it into the milestone funnel, don't despair. You have several alternatives.

a. Keep in mind that your job is to **fairly represent the real changes** program participants are making through your services. ***Do not attempt to represent your entire program service capabilities through the milestone funnel.*** Odds are it won't work. Think of it as a snapshot.

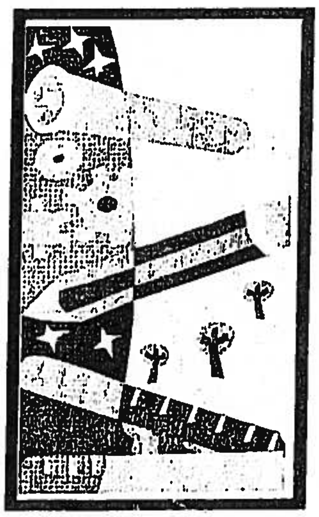
b. Talk to your funder. Seek advice.

c. Ask for technical assistance.

About
HAWAI'I COMMUNITY SERVICES COUNCIL

Our Mission

Hawai'i Community Services Council strengthens the community and builds for the future through cross-sector planning and technical assistance.



Our Vision

To be a bridge-builder, community connector, needs identifier, solution initiator and capacity-builder.

Our Purpose

For more than a century, HAWAI'I COMMUNITY SERVICES COUNCIL (HCSC) has worked to improve our community. Today, HCSC's focus is to lead systemic change and to help nonprofits to be more efficient and effective.

The Council convenes public and private stakeholders to develop shared visions and seek innovative, collaborative solutions that effectively manage community resources. We work to identify community needs and create plans to meet them. We are a listener, planner, researcher and facilitator. We help to connect funders and service providers.

How we can help you

If you have specific questions about the material in this manual, please call us at 808-529-0453.

HCSC delivers technical assistance and capacity-building training for nonprofits focused in 4 major areas:

- **Strategic Planning**
- **Outcomes Design & Implementation**
- **Board Governance**
- **Nonprofit Leadership & Management**

The Council also provides facilitation and consulting services related to strategic planning and evaluation.

For more information about how we can work with your nonprofit or community group, please call us at 808-529-0466 or visit our website at www.hcsc-hawaii.org.